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*Steve G. Fox*

(signature)

Date of signature and deposit - Nov. 6, 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: JAMES J. KERNZ ) Group Art Unit:  
Serial No.: 10/649,039 ) Examiner:  
Filed: August 27, 2003 ) Attorney Docket: 16514  
For: INTEGRATED MARKET EXCHANGE )  
SYSTEM, APPARATUS AND )  
METHOD FACILITATING TRADE IN )  
GRADED ENCAPSULATED OBJECTS)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Honorable Sir:

Pursuant to Sections 1.97 and 1.98 of Title 37 of the Code of Federal Regulations, record is hereby made of published prior art which the United States Patent and Trademark Office may wish to consider during examination of the above-entitled application. No representation is made or intended that a prior art search was conducted, or that no better art than that listed is available.

U.S. Patent Documents - No., Date, Name

4,829,453	May 9, 1989	Katsuta et al.
4,899,392	Feb. 6, 1990	Merton
5,042,650	Aug. 27, 1991	Mayer et al.
5,111,408	May 5, 1992	Amjadi
5,133,451	Jul. 28, 1992	Boyd et al.
5,150,792	Sep. 29, 1992	Munroe

5,220,614	Jun. 15, 1993	Crain
5,224,176	Jun. 29, 1993	Crain
5,235,680	Aug. 10, 1993	Bijnagte
5,263,136	Nov. 16, 1993	DeAguiar et al.
5,494,147	Feb. 27, 1996	Takahashi et al.
5,515,268	May 7, 1996	Yoda
5,664,115	Sep. 2, 1997	Fraser
5,740,428	Apr. 14, 1998	Mortimore et al.
5,764,235	Jun. 9, 1998	Hunt et al.
5,799,284	Aug. 25, 1998	Bourquin
5,845,265	Dec. 1, 1998	Woolston
5,933,829	Aug. 3, 1999	Durst et al.
5,950,178	Sep. 7, 1999	Borgato
5,992,752	Nov. 30, 1999	Wilz, Sr. et al.
5,978,773	Nov. 2, 1999	Hudetz et al.
6,058,417	May 2, 2000	Hess et al.
6,068,188	May 30, 2000	Knowles
6,076,733	Jun. 20, 2000	Wilz, Sr. et al.
6,085,176	Jul. 4, 2000	Woolston
6,108,656	Aug. 22, 2000	Durst et al.
6,199,048	Mar. 6, 2001	Hudetz et al.
6,202,051	Mar. 13, 2001	Woolston
6,243,691	Jun. 5, 2001	Fisher et al.
6,266,651	Jul. 24, 2001	Woolston
6,321,992	Nov. 27, 2001	Knowles et al.
6,345,764	Feb. 12, 2002	Knowles
6,381,510	Apr. 30, 2002	Amidhozour et al.
6,421,653	Jul. 16, 2002	May
6,604,107	Aug. 5, 2003	Wang
2003/0093326	May 15, 2003	Poon et al.

Foreign Patent Documents - No., Date, Country

1 100 030	May 16, 2001	European
1 178 420	Feb. 6, 2002	European

Publications - Author, Title, Date, Pages, Place

None

The relevance of the U.S. Patent Nos. 4,829,453, 5,220,614, 5,224,176, and 5,494,147 is discussed in Applicant's specification at page 3. The relevance of the U.S. Patent No. 5,042,650 is discussed in Applicant's specification at page 4.

Applicant would also like to draw the Examiner's attention to the following:

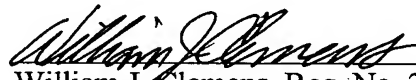
Commonly owned U.S. Patent No. 6,640,232 that issued on October 28, 2003, of which the present invention is a continuation-in-part;

Commonly owned and co-pending application Serial No. 10/113,990 filed Apr. 1, 2002, which is also a continuation-in-part of the above-mentioned U.S. Patent No. 6,640,232; and

Commonly owned U.S. Patent No. 6,366,899 that issued on April 4, 2002, of which the above-mentioned U.S. Patent No. 6,640,232 is a divisional application.

A copy of each of the foreign references is enclosed herewith along with Form PTO-1449. It is requested that they be fully considered and made of record in this case.

Respectfully submitted,

  
William J. Clemens, Reg. No. 26,855  
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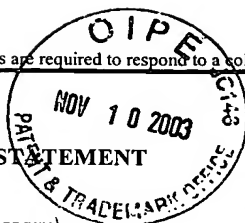
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**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(use as many sheets as necessary)

**COMPLETE IF KNOWN**

Application Number	10/649,039
Filing Date	August 27, 2003
First Named Inventor	James J. Kernz
Art Unit	
Examiner Name	
Attorney Docket No.	16514

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-4,829,453	05/09/1989	Katsuta et al.	
		US-4,899,392	02/06/1990	Merton	
		US-5,042,650	08/27/1991	Mayer et al.	
		US-5,111,408	05/05/1992	Amjadi	
		US-5,133,451	07/28/1992	Boyd et al.	
		US-5,150,792	09/29/1992	Munroe	
		US-5,220,614	06/15/1993	Crain	
		US-5,224,176	06/29/1993	Crain	
		US-5,235,680	08/10/1993	Bijnagte	
		US-5,263,136	11/16/1993	DeAguiar et al.	
		US-5,494,147	02/27/1996	Takahashi et al.	
		US-5,515,268	05/07/1996	Yoda	
		US-5,664,115	09/02/1997	Fraser	
		US-5,740,428	04/14/1998	Mortimore et al.	
		US-5,764,235	06/09/1998	Hunt et al.	
		US-5,799,284	08/25/1998	Bourquin	
		US-5,845,265	12/01/1998	Woolston	
		US-5,933,829	08/03/1999	Durst et al.	
		US-5,950,178	09/07/1999	Borgato	
		US-5,992,752	11/30/1999	Wilz, Sr. et al.	
		US-5,978,773	11/02/1999	Hudetz et al.	
		US-6,058,417	05/02/2000	Hess et al.	
		US-6,068,188	05/30/2000	Knowles	
		US-6,076,733	06/20/2000	Wilz, Sr. et al.	
		US-6,085,176	07/04/2000	Woolston	
		US-6,108,656	08/22/2000	Durst et al.	
		US-6,199,048	03/06/2001	Hudetz et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No. <sup>1</sup>	Foreign Patent Document Country-Number <sup>3</sup> -Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		1 100 030	05/16/2001	Europe		
		1 178 420	02/06/2002	Europe		
Examiner Signature				Date Considered		

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation design number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by et U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2.0 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, P. O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents, P. O. Box 1450, Alexandria, VA 22313  
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STATEMENT  
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Examiner Name	
Attorney Docket No.	16514

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## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country-Number <sup>3</sup> -Kind Code (if known)				

**Examiner  
Signature**

Date  
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Applicant's unique citation design number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

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